

Docket No. 294227US0X PCT



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Harald GROEGER, et al.

SERIAL NO: 10/593,567

GAU:

FILED: September 20, 2006

EXAMINER:

FOR: PROCESS FOR PREPARING OPTICALLY ACTIVE AMINO ACIDS USING A WHOLE-CELL CATALYST

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97**

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

**REFERENCES**

- ☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**RELATED CASES**

- ☒ Attached is a list of applicant's pending application(s), published application(s) or issued patent(s) which may be related to the present application. In accordance with the waiver of 37 CFR 1.98 dated September 21, 2004, copies of the cited pending applications are not provided. Cited published and/or issued patents, if any, are listed on the attached PTO form 1449.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**CERTIFICATION**

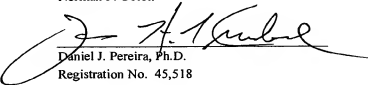
- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

**DEPOSIT ACCOUNT**

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

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Docket No.: 294227US0X PCT

Serial No.: 10/593,567

Inventor: Harald GROEGER, et al.

LIST OF RELATED CASES CITED BY  
APPLICANT UNDER 37 CFR 1.56

Filing Date: September 20, 2006

Group:

**LIST OF RELATED CASES**

<u>Examiner Initial</u>	<u>Docket No.</u>	<u>Serial or Patent Number</u>	<u>Filing or Issue Date</u>	<u>Patent App. Publication No.</u>	<u>Inventor or Applicant</u>
	258106US0XPCT	10/508,702	07/11/05		HUMMEL, et al.
	PER CLIENT	10/550,556	09/23/05	US2006/0216801 A1	GROGER, et al.
	294227US0XPCT*	10/593,567	09/20/06		GROEGER, et al.

Examiner

Date Considered

\*Present Application; listed for information  
NFO/sbs

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. //I.P./

Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 294227US0X PCT		SERIAL NO. 10/593,567	
<div style="position: relative; width: 100px; height: 100px; margin: auto;"> <div style="position: absolute; top: 0; left: 0; right: 0; bottom: 0; border: 1px solid black; border-radius: 50%; text-align: center; line-height: 100px;">             OIPE JAN 10 2007 PATENT &amp; TRADEMARK OFFICE           </div> </div>				APPLICANT Harald GROEGER, et al.		FILING DATE September 20, 2006	
				GROUP			
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE	
	AA	2006/0216801	9/28/2006	Harald GROEGER, et al.			
	AB						
	AC						
	AD						
	AE						
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	AI						
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	AN						
FOREIGN PATENT DOCUMENTS							
	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES NO			
	AD						
	AP						
	AD						
	AR						
	AS						
	AT						
	AU						
	AV						
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)							
	AW	Andrey GALKIN, et al., "Synthesis of Optically Active Amino Acids from α-Keto Acids with <i>Escherichia coli</i> Cells Expressing Heterologous Genes", APPLIED and ENVIRONMENTAL MICROBIOLOGY, XP-002079513, vol. 63, no. 12, December 1997, pages 4651-4656					
	AX						
	AY						
	AZ					<input type="checkbox"/> Additional References sheet(s) attached	
Examiner				Date Considered			
/Ileana Popa/				03/02/2010			

\*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.